



2152 #2 BT 11-18-02

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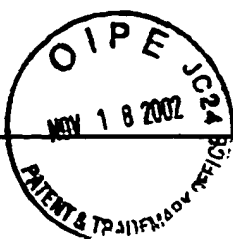
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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/989,776	
	Filing Date	November 19, 2001	
	First Named Inventor	Tzu Chiang Yuan	
	Group Art Unit	2152	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission		Attorney Docket Number	2102112-990000

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement with 2 references <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Postcard <b>RECEIVED</b> NOV 21 2002 Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual name	Ronald L. Yin (Reg. No. 27,607) Gray, Cary Ware & Freidenrich
Signature	<i>Ronald L. Yin</i>
Date	November 13, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents, Washington, DC 20231 on this date: November 13, 2002			
Typed or printed name	Susan Pingue		
Signature	<i>Susan Pingue</i>	Date	November 13, 2002



# INFORMATION DISCLOSURE STATEMENT

Applicants:	Tzu Chiang Yuan
Application No.	09/989,776
Filed:	November 19, 2001
For:	A Workflow System For Transferring A Specific Classified File
Group Art Unit:	2152
Examiner:	To Be Assigned
Attorney Docket No.:	2102112-990000

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Commissioner of Patents and Trademarks  
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Technology Center 2100

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

## This Information Disclosure Statement:

- (a) ☐ accompanies a new patent application submitted herewith.
- (b) ☒ is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; **OR**
- (c) ☐ after the period defined in (b) but before the mailing date of a Final Rejection or Notice of Allowance, **OR**
- (d) ☐ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below **OR**
- (d) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (f) ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (g) ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed

The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees to our Deposit Account No. 07-1896

Respectfully submitted,

Date: November 13, 2002

GRAY CARY WARE & FREIDENRICH LLP

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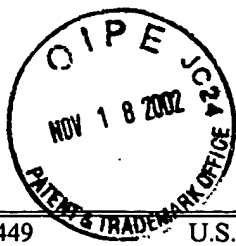
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Nov. 13, 2002  
Date

Juan P. Ingre  
Signature



ATTORNEY DOCKET NO. 2102112-990000

Form PTO-1449 (modified 2/91) <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)	U.S. DEPT. OF COMMERCE Patent and Trademark Office	Attorney Docket Number: <b>2102112-990000</b>	Serial Number: <b>09/989,776</b>
	Applicant: <b>Tsu Chiang Yuan, et al.</b>		
	Filing date: <b>November 19, 2001</b>	Group art unit: <b>2152</b>	

## U.S. PATENT DOCUMENTS

Examiner Initial	Patent number	Date	Name	Class	Sub-class	Filing date if appropriate
	5,978,836	11-02-99	Ouchi			<b>RECEIVED</b> <b>NOV 21 2002</b> <b>Technology Center 2100</b>
	6,170,002	01-02-01	Ouchi			

## FOREIGN PATENT DOCUMENTS

Document number	Date	Country	Class	Sub-class	Translation YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	